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| Form PTO-1449 | LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use Several Sheets if Necessary) | ATTY. DOCKET NO. | SERIAL NO. |
| | | CR00-001 | |
| | | Kurt Eisenbeiser et al. | |
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1600 U.S. PTO
09/584601
05/31/00

| REFERENCE DESIGNATION | | | | | | | | U.S. PATENT DOCUMENTS | | |
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| EXAMINER INITIAL | | DOCUMENT NUMBER | | | | | | ISSUE DATE | NAME | FILING DATE |
| | AA | | | | | | | | | |
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| OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.) | | | | | | | | | |
|--|----|---|--|--|--|--|--|--|--|
| SW | AO | "Formation of SiEpi./MgO-Al ₂ O ₃ Epi./SiO ₂ /Si and Its Epitaxial Film Quality," Masao Mikami et al., Extended Abstracts of the 15 th Conference on Solid State Devices and Materials, Tokyo, 1983, pp. 31-34. | | | | | | | |
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| SNW | AA | 5 2 2 5 0 3 1 | 7/6/93 | McKee et al. | 156 | 612 | 4/10/91 |
| SNW | AB | 5 4 5 0 8 1 2 | 9/19/95 | McKee et al. | 117 | 84 | 12/8/93 |
| SNW | AC | 5 4 8 2 0 0 3 | 1/9/96 | McKee et al. | 117 | 108 | 7/6/93 |
| SNW | AD | 5 8 3 0 2 7 0 | 11/3/98 | McKee et al. | 117 | 106 | 8/5/96 |
| SNW | AE | 5 5 1 4 4 8 4 | 5/7/96 | Nashimoto | 428 | 700 | 10/19/93 |
| SNW | AF | 5 3 9 3 3 5 2 | 2/28/95 | Summerfelt | 148 | 33.3 | 9/27/93 |

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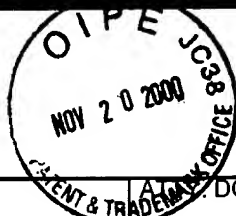
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| SNW | AO | "Crystalline Oxides on Silicon: The First Five Monolayers", R.A. McKee et al., Physical Review Letters, Vol. 81, No. 14, pp. 3014-3017. |
| SNW | AP | "Molecular Beam Epitaxy Growth of Epitaxial Barium Silicide, Barium Oxide, and Barium Titanate on Silicon", R.A. McKee et al., Oak Ridge National Laboratory, 1991 American Institute of Physics, pp. 782-784. |
| SNW | AQ | "Molecular Beam Epitaxy of SrTiO ₃ Films on Si(100)-2x1 with SrO Buffer Layer", Toyokazu Tambo et al., Jpn. J. Appl. Phys., Vol. 37 (1998) pp. 4454-4459. |
| SNW | AR | "Roles of Buffer Layers in Epitaxial Growth of SrTiO ₃ Films on Silicon Substrates", Bum Ki Moon et al., Jpn. J. Appl. Phys., Vol. 33 (1994) pp. 1472-1477. |
| SNW | AS | "The MBE Growth and Optical Quality of BaTiO ₃ and SrTiO ₃ Thin Films on MgO", R.A. McKee et al., Mat. Res. Soc. Symp. Proc. Vol. 341, pp. 309-314. |
| SNW | AT | "BaSi ₂ and Thin Film Alkaline Earth Silicides on Silicon", R.A. McKee et al., Appl. Phys. Lett. 63 (20), 15 November 1993, pp. 2818-2820. |
| SNW | AU | "Surface Structures and the Orthorhombic Transformation of Thin Film BaSi ₂ on Silicon", R. A. McKee et al., Mat. Res. Soc. Symp. Proc., Vol. 221., pp. 131-136. |
| SNW | AV | "Epitaxial Growth of SrTiO ₃ Films on Si(100) Substrates Using a Focused Electron Beam Evaporation Method", Hiroyuki Mori et al., Jpn. J. Appl. Phys., Vol. 30 (1991), pp.1415-1417. |

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| SW | AA | 5 2 2 5 0 3 1 | 7-6-93 | McKee et al. | | | 4-10-91 |
| SW | AB | 5 4 8 2 0 0 3 | 1-9-96 | McKee et al. | | | 7-6-93 |
| SW | AC | 5 7 6 7 5 4 3 | 6-16-98 | Ooms et al. | | | 9-16-96 |
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| SW | AM | 9 3 1 5 8 9 7 | 12-9-97 | Patent Abstracts of Japan | | | X |
| SW | AN | 4 1 2 0 2 5 8 | 12-24-92 | Germany | | | X |
| | AO | | | | | | |
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| SW | AS | "Molecular Beam Epitaxy of SrTiO ₃ Films on Si(100)-2 x 1 with SrO Buffer Layer", Toyokazu Tambo et al., Japanese Journal of Applied Physics, vol. 37, no. 1, pp. 4454-59. |
| SW | AT | "Roles of buffer Layers in Epitaxial Growth of SrTiO ₃ Films on silicon Substrates", Bum Ki Moon et al., Japanese Journal of Applied Physics, vol. 33, pp. 1472-1477. |
| | AU | |
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OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

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| SPW | AW | "Growth of Crystalline SrTiO ₃ Films on Si Substrates Using Thin Fluoride Buffer Layers and Their Electrical Properties", Bum Ki Moon et al., Jpn. J. Appl. Phys., Vol. 33 (1994), pp. 5911-5916. |
| SPW | AX | "Heteroepitaxy of Dissimilar Materials", Materials Research Society Symposium Proceedings, Vol. 221, pp. 29-34. |
| SPW | AY | "Heteroepitaxy on Silicon: Fundamentals, Structure, and Devices", Materials Research Society Symposium Proceedings, Vol. 116, pp. 369-374. |
| SPW | AZ | "A Preliminary Consideration of the Growth Behaviour of CeO ₂ , SrTiO ₃ and SrVO ₃ films on Si Substrate", Hirotohi Nagata, Thin Solid Films, 224(1993), pp. 1-3 |
| SPW | BB | "Heteroepitaxial Growth of CeO ₂ (001) Films on Si(001) Substrates by Pulsed Laser Deposition in Ultrahigh Vacuum", Hirotohi Nagata et al., Jpn. J. Appl. Phys., Vol. 30 (1991), pp. 1136-1138. |
| SPW | BC | "Heteroepitaxial Growth of SrO films on Si Substrates", Yuichi Kado et al., J. Appl. Phys. 61(6), 1987, pp.2398-2400. |
| SPW | BD | "Silicon Molecular Beam Epitaxy", Materials Research Society Symposium Proceedings, Vol. 220, pp. 595-600. |
| SPW | BE | "Effects of Buffer Layers in Epitaxial Growth of SrTiO ₃ Thin Film on Si(100)", Osamu Nkagawara et al., J. Appl. Phys. (1995), pp. 7226-7230. |
| SPW | BF | "A Proposal of Epitaxial Oxide Thin Film Structures for Future Oxide Electronics", M. Suzuki et al., Materials Science and Engineering B41 (1996), pp. 166-173. |

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| | | Eisenbeiser et al. | |
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U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | | DOCUMENT NUMBER | ISSUE DATE | NAME | CLASS | SUBCLASS | FILING DATE |
|---------------------|----|--------------------|---------------|------------------|-------|----------|----------------|
| <i>SNW</i> | A | 4 5 2 3 2 1 1 | 6/11/85 | Morimoto et al. | 357 | 4 | 3/8/83 |
| | B | 5 4 7 8 6 5 3 | 12/26/96 | Guenzer | 428 | 446 | 4/4/94 |
| | AA | 3 8 0 2 9 6 7 | 4/9/74 | Landany et al. | 148 | 171 | 8/27/91 |
| | AB | 4 4 0 4 2 6 5 | 9/13/83 | Manasevit | 428 | 689 | 4/7/78 |
| | AC | 4 4 8 2 9 0 6 | 11/13/84 | Hovel et al. | 357 | 16 | 6/30/82 |
| | AD | 4 8 4 6 9 2 6 | 7/11/89 | Kay et al. | 156 | 612 | 9/3/87 |
| | AE | 4 8 8 2 3 0 0 | 11/21/89 | Inoue et al. | 437 | 236 | 10/6/88 |
| | AF | 4 8 9 1 0 9 1 | 1/2/90 | Shastry | 156 | 606 | 6/8/87 |
| | AG | 4 9 2 8 1 5 4 | 5/22/90 | Umeno et al. | 357 | 16 | 3/20/89 |
| | AH | 4 9 6 3 9 4 9 | 10/16/90 | Wanlass et al. | 357 | 16 | 9/30/88 |
| | AI | 4 9 9 9 8 4 2 | 3/12/91 | Huang et al. | 372 | 45 | 3/1/89 |
| | AJ | 5 1 4 1 8 9 4 | 8/25/92 | Bisaro et al. | 437 | 132 | 7/20/90 |
| | AK | 5 1 5 5 6 5 8 | 10/13/92 | Inam et al. | 361 | 321 | 3/5/92 |
| | AL | 5 1 5 9 4 1 3 | 10/27/92 | Calviello et al. | 505 | 1 | 12/11/90 |
| | AM | 5 2 2 1 3 6 7 | 6/22/93 | Chisholm et al. | 148 | 33 | 8/3/88 |
| | AO | 5 2 4 8 5 6 4 | 9/28/93 | Ramesh | 428 | 688 | 12/9/92 |
| | AP | 5 2 7 0 2 9 8 | 12/14-93 | Ramesh | 505 | 1 | 8/4/92 |
| | AQ | 5 3 1 0 7 0 7 | 5/10/94 | Oishi et al. | 501 | 126 | 9/28/92 |
| | AR | 5 3 2 6 7 2 1 | 7/5/94 | Summerfelt | 437 | 131 | 5/1/92 |
| | AS | 5 4 1 8 3 8 9 | 5/23/95 | Watanabe | 257 | 295 | 11/9/93 |
| | AT | 5 5 5 6 4 6 3 | 9/17/96 | Guenzer | 117 | 90 | 6/5/95 |
| | AU | 5 6 7 0 7 9 8 | 9/23/97 | Schetzina | 257 | 96 | 3/29/95 |
| | AV | 5 6 7 4 3 6 6 | 10/7/97 | Hayashi et al. | 204 | 298.09 | 6/7/95 |
| | AW | 5 7 3 1 2 2 0 | 3/24/98 | Tsu et al. | 437 | 60 | 6/7/95 |
| | AX | 5 7 3 5 9 4 9 | 4/7/98 | Mantl et al. | 117 | 8 | 4/7/98 |
| | AY | 5 7 4 1 7 2 4 | 4/21/98 | Ramdani et al. | 437 | 128 | 12/27/96 |
| | AZ | 5 8 0 1 1 0 5 | 9/1/98 | Yano et al. | 438 | 785 | 6/14/96 |
| | BA | 5 8 1 0 9 2 3 | 9/22/98 | Yano et al. | 117 | 84 | 5/10/96 |
| | BB | 5 8 2 8 0 8 0 | 10/27/98 | Yano et al. | 257 | 43 | 8/17/95 |
| | BC | 5 8 7 4 8 6 0 | 2/23/99 | Brunel et al. | 330 | 285 | 12/4/96 |
| | BD | 6 0 0 2 3 7 5 | 12/14/99 | Corman et al. | 343 | 853 | 9/2/97 |
| | BE | 6 0 4 5 6 2 6 | 4/4/00 | Yano et al. | 148 | 33.4 | 6/23/98 |
| | BF | 6 0 5 5 1 7 9 | 4/25/00 | Koganei et al. | 365 | 158 | 5/17/99 |
| | BG | 6 0 6 4 0 7 8 | 5/16/00 | Northrup et al. | 257 | 96 | 5/22/98 |
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| | BI | 6 1 0 7 6 5 3 | 8/22/00 | Fitzgerald | 257 | 191 | 6/23/98 |
| | BJ | 6 1 1 3 6 9 0 | 9/5/00 | Yu et al. | 117 | 84 | 6/8/98 |
| <i>SNW</i> | BK | 6 1 4 3 0 7 2 | 11/7/00 | McKee et al. | 117 | 08 | 4/6/99 |

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| SW | BW 1123868 | 8/31/99 | Japan | | | X |
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| SW | CA 5208835 | 7/23/77 | Japan | | | X |
| SW | CB 5413455 | 10/19/79 | Japan | | | X |
| SW | CC 5508742 | 7/2/80 | Japan | | | X |
| SW | CD 6110818 | 5/26/86 | Japan | | | X |
| SW | CE 6232126 | 8/19/94 | Japan | | | X |
| SW | CG 6303499 | 2/15/88 | Japan | | | X |
| SW | CI 6313110 | 6/3/88 | Japan | | | X |
| SW | CH 6319836 | 8/17/88 | Japan | | | X |
| SW | CK 6334168 | 6/14/93 | Japan | | | X |
| SW | CK 9914804 | 3/25/99 | PCT | | | X |
| SW | CL 9963580 | 12/9/99 | PCT | | | X |

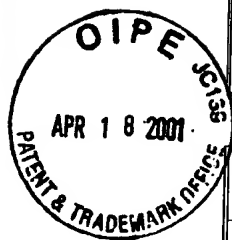
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| <i>Smw</i> | CN | "Integration of GaAs on Si using a spinel buffer layer, IBM Technical Bulletin," vol. 30, no. 6, Nov. 1987, p. 365 |
| <i>Smw</i> | CM | "GaInAs Superconducting FET," IBM Technical Bulletin, vol. 36, no. 8, Aug. 1993, p. 655. |
| <i>Smw</i> | CO | "Epitaxial 3d Structure Using Mixed Spinel," IBM Technical Bulletin, vol. 30, no. 3, Aug. 1987, p. 1271. |
| <i>Smw</i> | CQ | "GaAs Heteroepitaxial Growth on Si Substrates with Thin Si Interlayers in Situ Annealed at High Temperatures," Yodo et al., 8257b Journal of Vacuum Science & Technology, 1995, no. 3, pp. 1000-1005. |

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Smw R. W. K.

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| SW | DI | "Optimizing GMR Spin Valves: The Outlook for Improved Properties", W. F. Enghoff et al., 1998 Int'l NonVolatile Memory Technology Conference, pp. 34-37. |
| SW | DJ | "Processing and Performance of Piezoelectric Films", Y. Wang et al., Univ. of MD, Wilcoxon Research Co., and Motorola Labs. |
| SW | DK | "Nonlinear acoustoelectric interactions in GaAs/LiNbO ₃ structures", M. Rotter et al., 1999 American Institute of Physics, pp. 965-967. |
| SW | DL | "Surface acoustic wave propagation on lead zirconate titanate thin films", K. Sreenivas et al., App. Phys. Lett. 52(9), 29 February 1988, pp. 709-711. |
| SW | DM | "Single Chip fused hybrids for acousto-electric and acousto-optic applications", M. Rotter et al., 1997 American Institute of Physics, pp. 2097-2099. |
| SW | DN | "Surface Acoustic Wave Propagation in PZT/YBCO/SrTiO ₃ and PbTiO ₃ /YBCO/SrTiO ₃ Epitaxial Heterostructures", Dept. of Physics & Astrophysics, Univ. of Delhi, pp. 275-283. |
| SW | DO | "Ferroelectric Field Effect Transistor Based on Epitaxial Perovskite Heterostructures", S. Mathews et al., American Association for the Advancement of Science, 1997, pp.238-240. |
| SW | DP | "Formation of Si Epi./MgO-Al ₂ O ₃ Epi./SiO ₂ /Si and Its Epitaxial Film Quality," Masao Mikami et al., Fundamental Research Laboratories and Microelectronics Laboratories, pp. 31-34. |
| SW | DQ | "An Epitaxial Si/Insulator/Si Structure Prepared by Vacuum Deposition of CaF ₂ and Silicon," T. Asano et al., Graduate School of Science and Engineering, Tokyo Institute of Technology, pp. 143-151. |
| SW | DR | "Reaction and Regrowth Control of CeO ₂ on Si(111) Surface for the Silicon-On-Insulator Structure," T. Chikyow et al., Appl. Phys. Lett. 65(8), 22 August 1994, pp. 1030-1032. |
| SW | DS | "Epitaxial Growth of CeO ₂ (100) Films on Si(100) Substrates by Dual Ion Beams Reactive Sputtering," J.F. Kang et al., Solid State Communications, Vol. 108, No. 4, pp. 225-227. |
| SW | DT | "Vertical-Cavity Surface-Emitting Lasers Come of Age," Robert A. Morgan et al., SPIE, Vol. 2683, pp. 18-29. |
| SW | DU | "Technical Analysis of Qualcomm QCP-800 Portable Cellular Phone(Transmitter Circuitry)," Talus Corporation, Qualcomm QCP-800 Technical Analysis Report, December 10, 1996, pp. 5-8. |
| SW | DV | "Properties of GaAs Si Grown by Molecular Beam Epitaxy," R. Houdre et al., Solid State and Molecular Sciences, 1990, pp. 91-114. |
| SW | DW | "Gallium Arsenide and Other Compound Semiconductors on Silicon," S.F. Fang et al., J. Appl. Phys. 68(7), 1 October 1990, pp. R31-R58. |

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| <i>Smw</i> | DX | "Impact of GaAs Buffer Thickness on electronic Quality of GaAs Grown on Graded Ge/GeSi/Si Substrates," Carlin et al., Appl. Phys. Letter, vol. 76, no. 14, April 2000, pp. 1884-1886. |
| <i>Smw</i> | DY | "Epitaxial Integration of III-V Materials and Devices with Si Using Graded GeSi Buffers," Ringel et al., 27 th International Symposium on Compound Semiconductors, Oct. 2000. |
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EXAMINER

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